

Security Guideline - 5.4.G (12/10/03)

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Sections 5.4.G.4.b and 5.4.G.4.c were revised to remove the requirement of a CSCS when changing the period of performance for contracts requiring a FOCI Determination.

Definitions

Access as used in this guideline means the:

- knowledge, use, or possession of classified or other sensitive information required by an individual to perform his/her job, that is provided to the individual on a need-to-know basis,
- situations that may provide an individual proximity to or control over special nuclear material, and
- ability and opportunity to obtain knowledge of classified information. An individual may have access to classified information by being in a place where such information is kept, if the security measures that are in force do not prevent gaining such knowledge. Simply put, access herein refers to unescorted access to SNL facilities by an individual in possession of an L or Q badge.

Branch refers to a division of an organization, part of a central organization.

Classified document is recorded information, regardless of its physical form or characteristics, including but not limited to information that is:

- handwritten, printed, or typed,
- painted, drawn, or engraved,
- magnetically or electromagnetically recorded,
- on paper, plastic, metal tapes, punched cards, or aperture cards,
- in photographs, negatives, or exposed film, and
- any reproduction of the above.

Classified information is information requiring protection against unauthorized disclosure in the interest of the national defense and security, or the foreign relations of the United States.

Classified material (Ts&Cs) is defined as:

- a chemical substance, including metals,
- fabricated or processed items, and
- machinery, equipment, or components.

Classified matter is classified knowledge in any form: oral communications, documents, material/hardware, and activities that communicate classified concepts or intelligence.

Division refers to an operating unit of an organization.

Parent refers to a corporation or other entity that controls another corporation or other entity by

the power to elect its management.

Foreign interest means any of the following:

- foreign government or foreign government agency or instrumentality thereof,
- any form of business enterprise organized under the laws of any country other than the U.S. or its possessions,
- any form of business enterprise organized or incorporated under the laws of the U.S., or a state or other jurisdiction within the U.S. which is owned, controlled, or influenced by a foreign government, agency, firm, corporation, or person, or
- any person who is not a citizen or a national of the United States.

Note: An intending citizen and a foreign-owned U.S. company are not defined as a foreign interest.

Foreign Ownership, Control, or Influence (FOCI) means the situation where the degree of ownership, control, or influence over an Offeror, a Contractor, its subcontractors at any tier, or their respective tier parent(s), by a foreign interest is such that a reasonable basis exists for concluding that compromise of classified information or special nuclear material may exist.

Principal Officers means those officials responsible for managing the business affairs of the organization such as President, Chief Executive Officer, Secretary, Treasurer and those occupying similar positions as well as Board of Directors. Owners of privately held companies along with percentage of ownership should also be identified. These individuals are reported on the OODEP list of the FOCI forms.

Representative of foreign interest is a citizen or national of the U.S. or an intending citizen to the U.S., who is acting as a representative of a foreign interest.

Representative foreign interest statement is required to be submitted with each initial full FOCI application package. It should be completed by a Contractor if any of its employees who possess or are being processed for a DOE security clearance, become a representative of foreign interest or their status as a representative of foreign interest changes in a manner that would make them ineligible for a security clearance.

Subsidiary refers to a company wholly controlled by another.

Tier parent refers to a corporation or other entity that controls another corporation/entity by the power to elect its management. The control may exist by direct ownership or by indirect ownership through one or more levels of ownership of corporation(s)/entity(ies).

Classification Acronyms - 5.4.G.1

The following table defines the categories, their classification levels and acronyms for those most frequently used at SNL. The information is presented in order from most sensitive to the least sensitive.

Acronym	Definition	Level
SRD	Secret Restricted Data	1
SFRD	Secret Formerly Restricted Data	2
SNSI	Secret National Security Information	3
CRD	Confidential Restricted Data	4
CFRD	Confidential Formerly Restricted Data	5
CNSI	Confidential National Security Information	6

Classified Information Restrictions - 5.4.G.1.a

Classified information or discussions are not permitted outside of secured areas. Material Systems and Security Audits Department (SNL/NM) and Security Operations Department (SNL/CA) provides for the transmittal, receipt and storage of classified matter for personnel in uncontrolled areas.

Authorization for SNL Contractor personnel to handcarry classified information must be obtained from the Requester's (SNL) line manager.

Classified Procurement Documents - 5.4.G.2

Requester Responsibilities - 5.4.G.2.a

It is the requesting organization's responsibility to define the SOW and determine a Contractor's need-to-know classified information in order to perform specific job requirements either at SNL or off-site. Procurement documents shall never contain any classified information. Incorporate by reference as necessary. The Requester is also responsible for:

- indicating the level of security classification for materials and information on the PR,.
- initiating DOE Form 470.1, Contract Security Classification Specification (CSCS) and attaching it to the PR,

- initiating Form SF 7643-CEC, Contractor/Consultant Badge/Clearance Request, and
- initiating Form SF 7643-DOE, Security Clearance Justification (for new clearances, upgrades/downgrades, transfers, reinstates, etc.).

The classification level designated on the solicitation/contract should be the same as the highest level and category of information to which the Contractor will require access regardless of whether the work will be performed on-site or off-site. This classification level will be indicated on each PR line item and the CSCS form.

SCR Responsibilities - 5.4.G.2.b

Although the SCR does not have the responsibility to determine need-to-know or levels of classification required to perform classified work, the SCR should facilitate the process by carefully processing all required forms and seeking clarification from the Requester if discrepancies arise.

Statement of Work - 5.4.G.2.c

The SOW (as well as the entire procurement document) should never contain any classified information. The SCR may incorporate by reference any classified information, as necessary in Section I. (See Guideline 2.1 – Solicitation Document.)

Issuing Procurement Documents - 5.4.G.2.d

Solicitations requiring classified information in order to bid, and all classified contracts and revisions may not be released to the Contractor until a FOCI Determination is received.

When both on-site and off-site access are required, the SCR may release a contract authorizing on-site access (once a proper FOCI Determination is received and personnel security clearances approved) while off-site access is pending. However, this action should be used only under exceptional circumstances and with the consultation and approval of the SCR's manager. The following concerns should be discussed:

- long lead times for off-site approvals may result in constructive delays in contract performance, thus increasing costs,
- if off-site approval is not granted, a termination for convenience may be required, and
- contract activities undertaken to work around the classified aspect awaiting approvals may inadvertently communicate classified concepts, thus resulting in a security infraction.

Advance Actions for Classified Contracts - 5.4.G.2.e

Advance actions are treated the same as PRs with respect to classified matter. The instructions for processing, approving, and issuing a solicitation/contract document contained in this guideline shall apply.

Unsuccessful Bidders - 5.4.G.2.f

Whenever a classified procurement is sent out as a competitive solicitation and classified matter is required for solicitation purposes, the SCR is responsible for initiating closeout procedures with respect to all unsuccessful bidders. Close out effort should be coordinated with the FSAC to ensure the classified matter and Security documentation is obtained from the unsuccessful bidder.

FOCI Applicability - 5.4.G.3

The provisions of this guideline apply to:

- all Offerors,
- Contractors, or
- subcontractors of any tier (this requirement is a flowdown), and
- their respective tier parent(s)

when the entity performing the work shall require DOE access authorizations as defined in this guideline (L or Q Clearance).

Caution: The provisions of this guideline apply to all stages of contract performance. If a Contractor's company comes under FOCI after contract award or if the contract is amended to allow Contractor access, the provisions apply.

Note: Since FOCI is Contractor specific, a contract revision, option, or extension does not require a new FOCI Determination. However, an updated CSCS form is a requirement. The Contractor certification remains active and current providing there has been no significant change in the company's Foreign Ownership, Control, or Influence and the Contractor maintains active contracts and personnel clearances (see "Section 5.4.G.4.e - Significant Changes" in this guideline). Any modifications to a contract that result in deleting access authorization requirements must be reported to the SNL FSAC and FOCI applicable clauses must be deleted from the contract.

FOCI Exemptions - 5.4.G.3.a

The provisions of this guideline do not apply to:

- Integrated Contractor Orders (ICOs),

Note: DOE must certify ICs.

- Federal Agency Orders (FAOs),

- Other Government Agencies (OGAs),
- Consultant Agreements placed with an individual (not associated with a company, university, or other form of business), and
- orders placed against an Ordering Agreement (OA) (or other master agreement) where the OA awardee has been FOCI certified, prior to agreement placement.

A list of Integrated Contractors and Federal Agency Orders may be obtained from the Sandia Report titled "Annual Report: Procurement Organization, Sandia National Laboratories."

APS Procurements - 5.4.G.3.b

SCRs working under the APS may not place any order requiring FOCI approval. When a requisition requires access for the performance of work, the APS Sandia Contracting Representative (SCR) shall:

- verify with the Requester the need for an L or Q badge vs. the feasibility of using an administrative escort,
- transfer the PR line item to the appropriate Procurement department if an L or Q badge is required, or
- process the PR line item using the following language in both the solicitation and the confirming order:

access to SNL premises will necessitate administrative escort. For work under this PO, the Contractor shall contact SNL's technical consultant at _____ to arrange administrative escort for access to SNL premises. "Q" cleared badge(s) or "L" cleared badge(s) should not be used for work at SNL under this Order."

Standard Clauses (SCs) - 5.4.G.3.c

The following SCs are applicable to FOCI required procurements as delineated below.

If the SOW is...	Then incorporate...	In Solicitation	In Contract
Classified (information and/or material other than "U")	- SC 602-CLR, and - SC 610-FO	X X	X X
Unclassified and access is required (L or Q badge)	- SC 610-FO	X	X

FOCI Forms - 5.4.G.3.d

The SCR shall provide the Offeror/Contractor/Subcontractor with the following forms for completion if: (1) the company is not a registered facility with either the DOE or DOD, or (2) if the company's DOD FOCI is not adequate for the level of clearance required for the DOE activity.

- Current Albuquerque Field Office Guide to Completing the Certification (SF 6432-QSC).
- Foreign Ownership, Control, or Influence Over Contractor Representation (SF 6432-QC), which includes:
 - Checklist for Comprehensive FOCI Representations and Certifications package
 - Certificate Pertaining to Foreign Interests
 - Summary FOCI Data Sheet (Attachment A)
 - Owners, Officers, Directors and Executive Personnel (OODEP) (Attachment B)
 - Representative of Foreign Interest Statement (Attachment C)

If FOCI is required after contract placement due to an increased security level or access requirement, the SCR, having verified with the FSA Coordinator that the company is not already a registered facility, shall provide the form sets to the Contractor requesting a prompt reply.

Forms must be completed and signed by an individual whose name appears on the company's OODEP list. All forms required must have a response, even when "Not Applicable." Blanks precipitate delays.

FOCI Procedure - 5.4.G.4

The following FOCI procedures are mandatory for all existing orders/contracts/agreements and for all future awards when DOE access authorization (L or Q badge) is required.

Step	Who	Action
1	Requester	<ul style="list-style-type: none">- Determines need for classified or area access.- Initiates Purchase Requisition, SOW, and DOE Form 470.1, Contract Security Classification Specification (CSCS).- Transmits PR and CSCS electronically to SCR
2	SCR	<ul style="list-style-type: none">- Receives and sends PR and CSCS form to Facility Survey and Approval

		Coordinator (FSAC) for review
3	FSAC	<ul style="list-style-type: none"> - Receives and reviews documentation. - Checks for clearance requirements and Facility Code. - Assigns CSCS No. if clearance requirements are approved (will not assign CSCS No. if no clearances are required). - Returns documentation to SCR
4	SCR	<ul style="list-style-type: none"> - Checks documents for FSAC approval. - Incorporates appropriate SCs into Section I of solicitation. - If competitive solicitation, contacts FSAC for Facility Codes. (If Facility Code exists, FOCI package is not required.) - Forwards solicitation to Offerors with FOCI package, if applicable.
5	Offeror	<ul style="list-style-type: none"> - Receives FOCI package with solicitation. - Returns completed FOCI package, if applicable.
6	SCR	<ul style="list-style-type: none"> - Receives and reviews proposal. - Determines successful bidder (if competitive bid). - Reviews FOCI package against checklist. Note: SCR or designee may review FOCI packages. - Sends FOCI package to FSAC and waits for approval. Note: CSCS form must be included with the FOCI package. - SCR reviews form for accuracy and completes Blocks 11 and 14. Note: SCR may award contract following: <ul style="list-style-type: none"> -- DOE approval of the FOCI package and CSCS form, and -- facility/contract has been registered and the assigned Facility Code entered into the Safeguard and Security

Information Management
System (SSIMS) database.

7	FSAC	<ul style="list-style-type: none"> - Logs FOCI package and handcarries to DOE with CSCS form. - Coordinates signatures with the Classification & Information Security Department
8	DOE/AL/SPSD	<ul style="list-style-type: none"> - Makes FOCI determination. - Sends written approval to FSAC.
9	FSAC	- Receives FOCI determination memo from DOE/AL.
10	DOE/AL/SPSD	<ul style="list-style-type: none"> - Receives CSCS and FDAR, if applicable, from FSAC. - Generates Facility Code and enters information into SSIMS.
11	FSAC	<p>Sends Notification of Determination (NOD) letter to respondent.</p> <p>Note: Included with the NOD letter, the FSAC also sends an approved CSCS and FDAR (if applicable) to SCR, Requester and company FSO.</p>
12	SCR	<p>- Complies with DOE/AL/SPSD directions.</p> <p>Note: If the Offeror/Contractor/Subcontractor and DOE and/or SNL cannot negotiate a plan of action that isolates the Offeror/Contractor/Subcontractor from FOCI in a manner that is satisfactory to DOE, the Contractor shall not be considered for contract award. If a FOCI arises on an existing contract (e.g., the company is bought by a foreign interest), the contract shall be terminated for convenience unless an isolation plan can be negotiated. A company with foreign ownership may provide physical and/or organizational separation of that subsidiary in order to retain FOCI certification.</p>

- Awards contract.

Note: In the event a PR line item is canceled prior to placement but after submission of a FOCI request, the SCR shall notify the FSA Coordinator in writing who will then cancel the request.

Classification Level Changes - 5.4.G.4.a

Once the classification level has been initiated by the Requester on the CSCS form, and verified by Classification and Security, that procurement shall carry at least that level of classification throughout its life cycle.

In rare cases, a classification level may be deleted or reduced. Use the following chart when changes are required.

If a classification level...	Then the SCR shall...
must be increased or added to an unclassified action,	changes the solicitation/contract with a revision (a new CSCS form is required).
must be deleted or reduced in level,	<ul style="list-style-type: none">- cancel the PR/revision if not definitized,- cancel the placed contract, or- work within the level indicated on the contract. Caution: Termination of previously granted clearances and shipping/mail channels may be required. If in doubt, consult with Security.

Changes Requiring a New CSCS Form - 5.4.G.4.b

Requesters must submit a new CSCS form to the FSA Coordinator when any of the following conditions apply, before the SCR can revise the contract:

- change in classification (as noted in Section 5.4.G.4.a), and/or
- any changes as requested by SNL/DOE Security.

Changes to Period of Performance - 5.4.G.4.c

Period of Performance changes to not require a new CSCS form. In lieu of the CSCS form, the SCR must send an electronic message to the FSA Coordinator with the following information:

- Company Name on Contract
- Contract Number
- Revised Contract End Date

The FSA Coordinator will then submit the information to DOE/NNSA for approval. After receiving approval, the FSA will return the approval to the SCR who will then scan the message into the contract file (Section B.14). For reference purposes, the SCR must place a note or a copy of the electronic message in the contract file when the message is sent to the FSA. Placing this information will allow the SCR to place the revision to the contract while waiting for the

approval from DOE.

Examples of Submissions Returned - 5.4.G.4.d

Information must be complete, current, and accurate. While only DOE can determine the adequacy of FOCI submissions, SCRs or designee can expedite the process by sending complete packages to the FSA Coordinator. Examples of incomplete or inaccurate FOCI information include:

- list of foreign holdings is provided, but percentage owned and where the foreign holdings are located is not provided,
- list of foreign holdings in sensitive countries is provided, but it is not indicated whether or not any revenue from sensitive countries was received,
- when reporting indebtedness, the amount is provided in foreign currency and not what the amount represents in equivalent U.S. dollars, or all such indebtedness is not provided,
- consolidated financial statements were provided rather than the required separate financial statement for each tier/entity,
- income tax return is submitted in lieu of required current financial statement, unless supplier is a sole proprietor,
- incomplete OODEP list may lack a complete listing of positions held such as the facility security officer (FSO), contain blank columns, and/or percent of ownership is not specified,
- percentage of ownership attachment to OODEP omitted,
- forms are signed by someone who is **not listed** on the OODEP list,
- failure to provide copies of Articles of Incorporation, by-laws and most recent Board meeting minutes, and
- information is not considered **current** by DOE, if signatures are dated more than 90 days from date of receipt.

Additional information requested by DOE/AL/SPSD must be provided in writing by the Offeror/Contractor/Subcontractor and submitted to the FSA Coordinator within 30 days of the request. If routed to DOE after 30 days, the request may be treated as a new application and in the queue.

Contract File Documentation - 5.4.G.4.e

A copy of the current DOE approved CSCS form must be maintained in the electronic contract file (see Guideline 6.10.G – Procurement Files).

Significant Changes - 5.4.G.4.f

It is the company's responsibility to provide to DOE/AL/SPSD through SNL's FSA Coordinator an updated OODEP list whenever changes occur, and any updates to their initial FOCI comprehensive representation/certification. Significant changes that require the submission of a new comprehensive Reps/Certs form set SF 6432-QS and required attachments, include but are not limited to:

- any change in ownership (regardless of whether it involves a name change),
- acquisition $\geq 5\%$ of a company's securities by foreign interests (form Question #1),
- changes (acquisitions/divestitures) in foreign holdings that would result in significant increases/decreases in foreign derived income (form Question #2),
- changes in directors/officers/executive personnel who are foreign citizens (form Questions #3 & 4),
- any revenue from a new foreign country or a $\geq 10\%$ increase in income from a country already providing income (form Question #5),
- $\geq 10\%$ increase in indebtedness to one foreign country or lending institution when voting stock is provided as collateral, when a foreigner is appointed to the board of directors, or when loan payments are in default (form Question #6),
- $\geq 2\%$ increase in income from any sensitive country (form Question #7),
- SEC Schedule 13D or 13G shows that any foreign investor has $\geq 5\%$ of a company's securities (form Question #8), and/or
- any changes/additions in foreign employees or foreign visitors to a company's offices/facilities in a capacity which may permit access to classified information or special nuclear material (form Question #10).

Any change to the original responses submitted on the 10 "Yes-No" questions will generally indicate a significant change which should be reported to DOE through the SNL FSA Coordinator.

Other Changes - 5.4.G.4.g

Common changes that must be reported to the FSA Coordinator by either the Contractor or the SCR are as follows:

- company name/company address change,
- company filing or considering filing for bankruptcy,
- company going out of business,
- company suspension (regardless whether it's temporary or permanent),
- shortening of POP end date of Registered (FOCI) certified contract, and/or

- change in Facility Security Officer, and/or phone numbers.

The changes noted above do not warrant a new FOCI package. However, DOE may determine that a FOCI package, in some instances, may be required for company name and address changes, and filing or considering filing for bankruptcy

Classified Mail and Shipping Addresses/Channels - 5.4.G.4.h

Security is responsible for opening up shipping and mailing channels for classified matter. DOE Form 470.1, Contract Security Classification Specification (CSCS), is used to request classified shipping and mail channels. These shipping and mail channels may not be used for any other purposes other than those specified on the CSCS form or by Security. When shipping/mailing classified matter:

- do so only through approved channels to approved addresses,
- always coordinate through Security, and
- see Property Guideline 6.15, for additional information.

Note: Any classified information inadvertently received in an uncontrolled area shall immediately be reported to Security.

FOCI Special Considerations - 5.4.G.5

Multiple Contracts - 5.4.G.5.a

If more than one contract is being awarded to a Contractor at the same time, the Contractor's FOCI representation can reference each contract number. However, a CSCS form must be completed for each (proposed) contract.

Expediting a FOCI Request - 5.4.G.5.b

If the contract is **unclassified** and there is a legitimate urgency to begin work, the SCR may place the contract without SC 610-FO, pending receipt of a FOCI determination, and amend the contract to add SC 610-FO and other required security clauses once the certification is received. This will allow the Contractor to begin work, with an administrative escort. This process should only be used for exceptional circumstances, not as a remedy for poor planning with regard to procurement cycle time. The SCR should have a high confidence level that the Contractor will receive an affirmative determination. Should DOE deny the FOCI application, the contract will have to be completed using an administrative escort. A "Yes" response on the comprehensive Reps/Certs form should be a warning signal to the SCR that some foreign ties may need to be

resolved by DOE.

Classified SOW and FOCI - 5.4.G.5.c

If the prospective Contractor must have access to classified information in order to prepare a proposal, the SCR **must obtain a FOCI Determination on each Contractor prior to issuing a solicitation.**

Warranty Periods and FOCI - 5.4.G.5.d

The contract period of performance does not include any subsequent warranty period. Once the work statement is complete, the contract is closed/terminated in accordance with DOE Order. Any warranty work performed at a later date will require an administrative escort. If regular servicing is necessary, a separate maintenance contract should be pursued. Contracts and FOCI determinations will not be left open merely because the work includes a warranty period.

FSA/FOCI Database - 5.4.G.5.e

The FSA Coordinator maintains a real-time database to track SNL's Registered contracts/FOCI Certified facilities. The Badge Office at SNL/NM and SNL/CA will only issue Contractor personnel badges after verifying that a Facility Code has been assigned to a company by the DOE. The database is located at the following URL Web address:

<https://sas462.sandia.gov/cfdocs/prod/FSAQuery/SearchPage.cfm>

Note: Database is not available to the general public.

The FSA Coordinator uses the database to perform periodic internal audits of Personnel Security's Contractor badge listings. The FSA Coordinator, SCR, Requester, and/or company FSO shall resolve any discrepancies found in these audits.

Contractor Clearance/Badge - 5.4.G.6

The Badge Office will not begin the clearance process or issue an L or Q badge until the facility/contract has been registered (Facility Code is known), and the resulting order/contract/revision appears in the FSA database.

When Contractor(s) will require a security clearance and/or Contractor badge in order to perform work on a classified contract, the following steps shall be taken.

Step	Who	Action
1	Requester	- Determines that a clearance/badge is required and initiates SF 7643-CEC, Contractor Badge/Clearance Request, completing all items per instructions on back of form.

Note: The level of clearance, L or Q badge, is based on the SF 7643-DOE, Security Clearance Justification Form, and Statement of Work. An Administrative Escort or Escort Service may be sufficient for performance of the task on-site.

- Routes SF 7643-CEC to the SCR at SNL/CA.
- Routes SF 7643-CEC to the Badge Office at SNL/NM
- Routes SF 7643-DOE to Clearance Coordinator (SNL/NM and CA)

2

SCR at
SNL/CA

- Reviews and verifies applicable items for complete and accurate information and signs under Request Approved. Indicates either:

- FOCI requirements are met, or
- FOCI does not apply (in case of red badge only).

Caution: Do not process this form if FOCI applies until DOE has rendered a written determination.

Note: Make a copy for the procurement file.

Note 1: A new clearance may take 12 to 18+ months and transfer of a clearance may take 2 to 8 weeks. Allow 3 working days for subsequent badge requests.

Note 2: A new clearance using the Accelerated Access Authorization Process (AAP) may take 60 to 90 days.

Caution: The level of access granted for Contractor employees may not exceed the level of classification indicated on the CSCS form. It may, in fact, be a less sensitive level based upon the individual Contractor personnel's need-to-know in order to accomplish their specific job duties relative to the contract.

All badging is accomplished with information from the FSA database and the "Registered Contracts/FOCI Certified Facilities" report which is maintained by the FSA Coordinator.

Administrative Escort - 5.4.G.6.a

When an uncleared Contractor requires access to a restricted area at SNL, and such need does not justify seeking a clearance, or a clearance has been requested but not yet granted, that Contractor may access the area by way of an Administrative Escort. The Requester is responsible for initiating the process and should contact the Badge Office for further information.

Security Escort Services - 5.4.G.6.b

When a Contractor requires access to a security controlled area in order to perform work, but an

Administrative Escort is not feasible, Escort services may be requested. Requesters are responsible for initiating all such requests.

Requests should be made as far in advance as possible due to the limited number of escort personnel available. Direct requests to Security (Escorts, at SNL/NM).

After Hours Access 5.4.G.6.c

Non-Sandians are expected to leave the premises at the end of the regular workday. However, when it is essential that Contractor personnel be on-site after hours to perform necessary work, the SNL manager requiring Contractors on-site after hours must contact the Security Desk Lieutenant to make all necessary arrangements.

Contraband Items - 5.4.G.6.d

Hand carried items may be inspected, searched or both upon entry to and/or departure from a secured area. The following items are considered contraband and should not be brought on the premises:

- firearms, ammunition, explosives and incendiary devices,
 - cameras, copying or reproduction devices,
 - alcohol, alcoholic beverages or illegal drugs,
 - any device used for recording or transmitting, inclusive, but not limited to two-way radios, cellular phones, Palm Pilot Version VII, etc.,
 - items similar in effect/purpose to any item above, and
 - other items prohibited by law.
-

AAAP Interim Q Clearance Process - 5.4.G.7

The following steps outline the process for a Contractor employee to obtain an Interim Q Clearance.

Step	Who	Action
1	SCR	- PR is received, along with a Memorandum of Justification specifying the need for "Q" cleared Contractor employee labor.

- Contacts Requester to discuss the need for immediate vs. delayed secured area and/or classified access.
- If there is an immediate need, incorporates a requirement for Contractor to furnish "Q" cleared personnel in the solicitation when the period of performance commences and proceeds with the normal procurement process.

Note: The need for an immediate "Q" clearance must be fully justified.

- - If there is a delayed need within 60 to 90 days after contract award, then go to Step 2.

2	Requester	Sends SCR documentation that includes a complete explanation as to why the need could not have been anticipated and covered by acquisition planning.
3	SCR	<ul style="list-style-type: none"> - Incorporates SC 612-IQ in the solicitation and encloses a written explanation of the interim Q clearance process and testing consent form. - Selects the Contractor based on the solicitation evaluation criteria. <p>Caution: If Contractor does not have personnel with existing Q clearances, SCR should assure the Contractor has acceptable personnel who will participate in AAAP process.</p>
4	Successful Contractor	Gives AAAP documents to employee (forms may be copied). Sends SCR all completed documentation.
5	SCR	Sends AAAP documents and Memorandum of Justification to Security.
6	Security	Furnishes the QSP package to the Contractor upon receipt of clearance from Requester.
7	Contractor	Gives the QSP package to employee to read, complete and return all documentation to Security.
8	DOE/AAAP Coordinator	<ul style="list-style-type: none"> - Contacts the Contractor employee to explain in detail and to schedule tests the employee is required to pass before DOE will grant an interim Q clearance. - If the Contractor's employee passes all the tests, an interim Q clearance will be issued. - If the Contractor's employee does not pass all the tests, the SCR and Requester determine what further

action SNL will take.

Note: The AAAP processing cost will be borne by DOE.

Access to SNL by Foreign Nationals - 5.4.G.8

Access to SNL by individuals who are not U.S. citizens is limited by several factors, including country of citizenship and circumstances surrounding the visit. Change in this area is dynamic not only in the classification of countries as:

- nonsensitive, and
- sensitive,

but also as it relates to DOE directives. Therefore, when access by a foreign national is anticipated for a purpose relating to a procurement matter, the Requester should contact the Foreign Interactions Office for additional information.

Access to SNL Procurement - 5.4.G.9

Contractors needing to meet with an SCR, attend a contract related meeting, or desiring to set up product demonstration/information display, may all be accommodated outside the confines of restricted areas.

All cleared and uncleared visitors at SNL/NM shall be handled in accordance with the following:

- The Contractor may be escorted by any cleared staff person into the Procurement wings of the buildings to the appropriate office/conference room, in accordance with the department/building access requirements applicable to the specific location.
 - When a Contractor is escorted into the Procurement office area, a cleared Sandian must remain with the visitor at all times.
-

Vehicle Access to SNL - 5.4.G.10

Contractors seeking access to SNL/NM located on Kirtland Air Force Base (KAFB) require a decal or temporary vehicle pass. If a Contractor's work site is located inside a secured area, and the work is such that a vehicle must enter that area (i.e., to transport tools, materials, etc.), such approval shall be obtained as follows:

If Contractor Is...	and Work Is...	Then Approval is Obtained By...
a construction company	long or short term,	request made through Construction Management Department.
uncleared	short term,	requesting line organization from Security Escort service. Uncleared Contractors and vehicles must be escorted.
cleared	long term,	written request justifying same from the requesting line organization to Security Protective Force.

Contractors who receive approval to bring a vehicle into a secured area must have official magnetic company signs or the company name painted on both sides of the vehicle in letters a minimum of one-inch high.

Classified Contract Closeout - 5.4.G.11

Use the following procedure to close out a classified contract when Period of Performance end date is reached.

Step	Who	Action
1	Contract Administrator	<ul style="list-style-type: none">- Retrieves electronic copy of most recent CSCS form from Procurement contract file and certifies Period of Performance will/will not be extended.- Sends copy of CSCS form to FSA Coordinator.
2	FSA Coordinator	<ul style="list-style-type: none">- Certifies CSCS form.- Sends SF 2902-T, Certificate of Nonpossession/Retention of Classified Matter, to the Contractor when classified work is performed off-site.
3	Contractor	<ul style="list-style-type: none">- Completes SF 2902-T and- Returns the form to FSA Coordinator.

- Receives completed Certification, SF 2902-T, attaches CSCS form, and submits to DOE.
- Terminates, as appropriate, all
 - facility clearances,
 - personnel clearances, and
 - mail/shipping channels.
- Coordinates transfer of classified matter when appropriate.

Classified – Inbound Procedures – 5.4.G.12

Receiving Address Table

If the Receiving Location is...	and the Classified Items are...	Then use this Receiving Address...
SNL/NM	Documents	Sandia National Laboratories Attn: Document Processing For: (Intended Recipient, MS #) P.O. Box 5800 Albuquerque, NM 87185-5800
SNL/NM	Materials and Private Carrier Mail (e.g., Federal Express)	Sandia National Laboratories Attn: Senior Receiving Clerk Receiving - Building 957 For: (Intended Recipient, MS #) 1515 Eubank Blvd. SE Albuquerque, NM 87123-MS#
SNL/NM	Explosives or Nuclear Materials	Sandia National Laboratories 6000 Igloo Area Building 6020 For: (Intended Recipient, MS #) 1515 Eubank Blvd. SE

		Albuquerque, NM 87123-MS#
SNL/CA	Documents	Sandia National Laboratories Attn: Document Control For: (Intended Recipient, MS #) P.O. Box 969 Livermore, CA 94551-0969
SNL/CA	Materials and Private Carrier Mail (e.g., Federal Express)	Sandia National Laboratories Attn: (Manager of Dept. 8532) Receiving - Building 928 For: (Intended Recipient, MS #) 7011 East Avenue Livermore, CA 94550
SNL/CA	Explosives Materials	Sandia National Laboratories Attn: David Ross, MS9221 (8821) For: (Recipient, MS #) Area 8, Building 981 7011 East Avenue Livermore, CA 94550
SNL/CA	Nuclear Materials (no explosives)	Sandia National Laboratories Attn: Judi Goltz, MS9281 (8532) For: (Recipient, MS) Receiving - Building 928 7011 East Avenue Livermore, CA 94550
Tonopah Test Range, NV	Documents	Sandia National Laboratories Attn: Document Control P.O. Box 871 Tonopah, NV 89049
Tonopah Test Range, NV	Materials	SCRs should contact Personnel Security for specific information at the time the solicitation is issued.
Mercury, NV	Explosives	Sandia National Laboratories 806/805 Bunker Attn: Ivars Gals Mercury, Nevada 89023

To ensure that the most current address is always used, refer to the Mail/Shipping Directory

Applicable Clauses - 5.4.G.13

- SC 602-CLR - Classified Matter Requirements
 - SC 610-FO - Foreign Ownership, Control, or Influence Over Contractor
 - SC 612-IQ - Interim Q Clearance
-

References - 5.4.G.14

- DOE Order 470.1 - Safeguard and Security Program
 - SAND 81-2467 - SNL Classification Handbook
 - SAND 88-1329 - Security Guide for Subcontractors
 - SAND 87-2221 - Security - Part of the Job
-

Send feedback on ideas and information on this page to the Process Expert, Bertie Denman.



[Bertie Denman](#)



[Karen Archibeuqe](#)
